



Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/748,890
Filing Date	12/30/2003
First Named Inventor	Jeff S. Eder
Art Unit	3684
Examiner Name	Thomas Mansfield
Attorney Docket Number	AR - 68

Sheet

of

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		ROCKEFELLER, R.T., WETS, ROGER, "Scenario and policy aggregation in optimization under uncertainty", Mathematics of Operation Research, pages 119 - 147, 1991, USA	
		MULVEY, JOHN and ANDRZEJ RUSZCZYNSKI "A New Scenario Decomposition Method for Large-Scale Stochastic Optimization" Operations Research, vol. 43 (1995), No. 3, p. 477-490, USA	
		KON, STANLEY and JEN, FRANK, "The Investment Performance of Mutual Funds", The Journal of Business, Vol. 52, No. 2 (Apr., 1979), pp. 263-289, USA	
		IPPOLITO, RICHARD, On Studies of Mutual Fund Performance, 1962-1991, Financial Analysts Journal, Vol. 49, No. 1 (Jan. - Feb., 1993), pp. 42-50, USA	
		TREYNOR, JACK and MAZUY, KAY, "Can Mutual Funds Outguess the Market?", Harvard Business Review, July - August 1996, pages 131 - 136, USA	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.